



Motor Carrier Evaluation Program (MCEP) Methodology Plan (Revision 8)

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ACRONYMS

CIR	Carrier Identification Report
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
EPA	U.S. Environmental Protection Agency
FMCSA	Federal Motor Carrier Safety Administration
FMCSR	Federal Motor Carrier Safety Regulations
HAZMAT	Hazardous Materials
HRCQ	Highway Route Controlled Quantity
LTL	Less than Truckload
MCEP	Motor Carrier Evaluation Program
MCMIS	Motor Carrier Management Information System
MCSIP	Motor Carrier Safety Improvement Process
NTP	National Transportation Program
NTP-A	National Transportation Program-Albuquerque
OOS	Out-of-Service
RSPA	Research and Special Programs Administration
SAFER	Safety and Fitness Electronic Record
SEA	Safety Evaluation Area
SEC	Securities Exchange Commission
SOP	Standard Operating Procedure
TL	Truckload

MOTOR CARRIER EVALUATION PROGRAM METHODOLOGY PLAN

1.0 MCEP EVALUATION PROCESS

The United States Department of Energy (DOE) National Transportation Program-Albuquerque (NTP-A) is responsible for implementing DOE policy and providing operations management with tools needed to ensure the safe, efficient, regulatory-compliant, and timely transportation of DOE-owned radioactive materials and hazardous waste. The NTP-A Motor Carrier Evaluation Program (MCEP) is a management tool for ensuring that DOE Field Offices and contractors use only qualified carriers to transport DOE-owned radioactive materials and hazardous waste as identified in DOE Order 460.2. DOE established the MCEP to assist DOE Field Offices and contractor transportation organizations in evaluating, enhancing, and standardizing carrier evaluations across the DOE complex.

This document describes the methodology used to conduct the initial carrier screening, and perform onsite evaluations and continuous carrier monitoring processes established under MCEP Revision 8. Illustrations are provided to assist personnel assigned to perform the functions associated with any part of the program. In accord with the changes established under Revision 6, there are three stages and two levels (national and local) to the enhanced MCEP evaluation process (see **Figure 1**). The first and second stages apply to new carriers, as directed by NTP-A or as a result of carrier monitoring activities, and the third involves the monitoring of all carriers approved under the MCEP evaluation process. This process is described below.

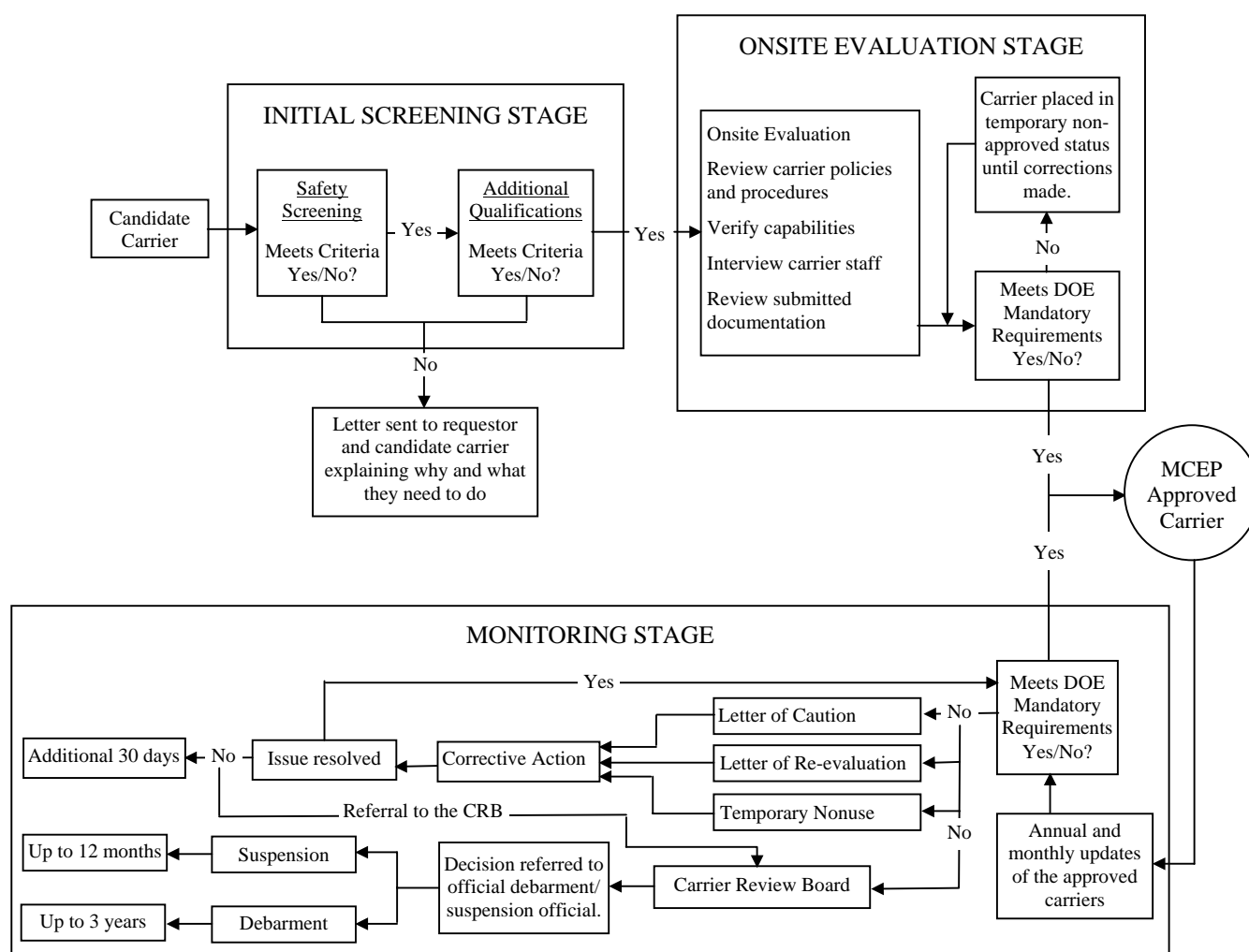
Stage 1 – Initial Carrier Screening: In this stage, the carrier is measured against a set of minimum DOE requirements and a determination is made to advance the carrier for an onsite evaluation (Stage 2). Carriers failing to meet the minimum DOE requirements after two Stage 1 (screening) attempts are dropped from further consideration for a period of two years after the last failed attempt or at discretion of MCEP NTP-A Program Manager. The process for initial carrier screening is provided in SOP NTP-A-MCEP.001.

Stage 2—Onsite Evaluation: A carrier who meets the initial carrier screening criteria, advances to Stage 2, an in-depth onsite evaluation. Questionnaires have been developed to assist evaluators in focusing their onsite evaluations on regulatory compliance in specific areas of performance. The information gathered during stages 1 and 2 is used to evaluate the carrier's performance, and additional onsite evaluations may be performed as a result of problems identified during the stage 3 carrier monitoring process. The onsite evaluation process is described in SOP NTP-A-MCEP.002.

Stage 3—Carrier Monitoring: A carrier that meets minimum DOE criteria through the initial carrier screening and onsite evaluation processes is identified on the MCEP website as approved for use by traffic managers throughout the DOE complex. Once approved, carriers are continuously monitored via monthly assessments to ensure they continue to meet DOE requirements. Any carrier that demonstrates a negative trend (Safety Evaluation Area (SEA) value of 65 or higher) toward failing to meet these requirements is notified and asked to provide an explanation. If the negative trend continues and improvement is not demonstrated through the improvement of the SEA value, the carrier may be removed from the list of approved carriers until the problems are corrected and the corrections are verified. Carrier monitoring activities are described in SOP NTP-A-MCEP.003.

As an enhancement to Stage 3, MCEP now has a procedure dealing with the Temporary Nonuse, Suspension, and/or Debarment of carriers from participating in DOE or even other federal agency business. This new enhancement to the monitoring stage activity can be found in SOP NTP-A-MCEP.004.

Figure 1
Motor Carrier Evaluation Program Process



The MCEP is further divided into two levels, national and local. On the national level, subject matter experts administer the program on behalf of NTP-A, and perform initial carrier screening and carrier monitoring activities. Onsite evaluations of national carriers who serve multiple sites within the DOE complex, as well as carriers with DOE-negotiated tenders, are performed by NTP-A and contractor program management personnel. At the local level, smaller single site carriers are evaluated and re-evaluated by MCEP-trained DOE Field Element and/or site contractor transportation professionals. Assignments to the national team are determined by the NTP-A Program Manager in concert with the Contractor Program Manager. The appropriate DOE Field Element Traffic Manager and/or contractor management assigns individuals to participate on local evaluation teams. All individuals who perform MCEP onsite evaluation activities must meet the qualification and training requirements identified in Section 3.0 of the MCEP Management Plan.

2.0 STAGE 1—INITIAL CARRIER SCREENING

As stated in DOE Order 460.2, Departmental Materials Transportation and Packaging Management, “All carriers utilized to transport Highway Route Controlled Quantities (HRCQ) of radioactive materials in less-than-truckload (LTL) or truckload (TL) quantities, any TL quantities of radioactive material, and hazardous waste in any quantity, shall be evaluated by DOE Field Elements in accordance with the DOE Motor Carrier Evaluation Program Plan and Program Procedures.” Only those carriers needing to be evaluated under the Order will be listed on the “approved” carrier list. This does not mean that other carriers cannot participate in other DOE transportation activities or may not bid for DOE work identified in the Order if they have not participated in the MCEP process.

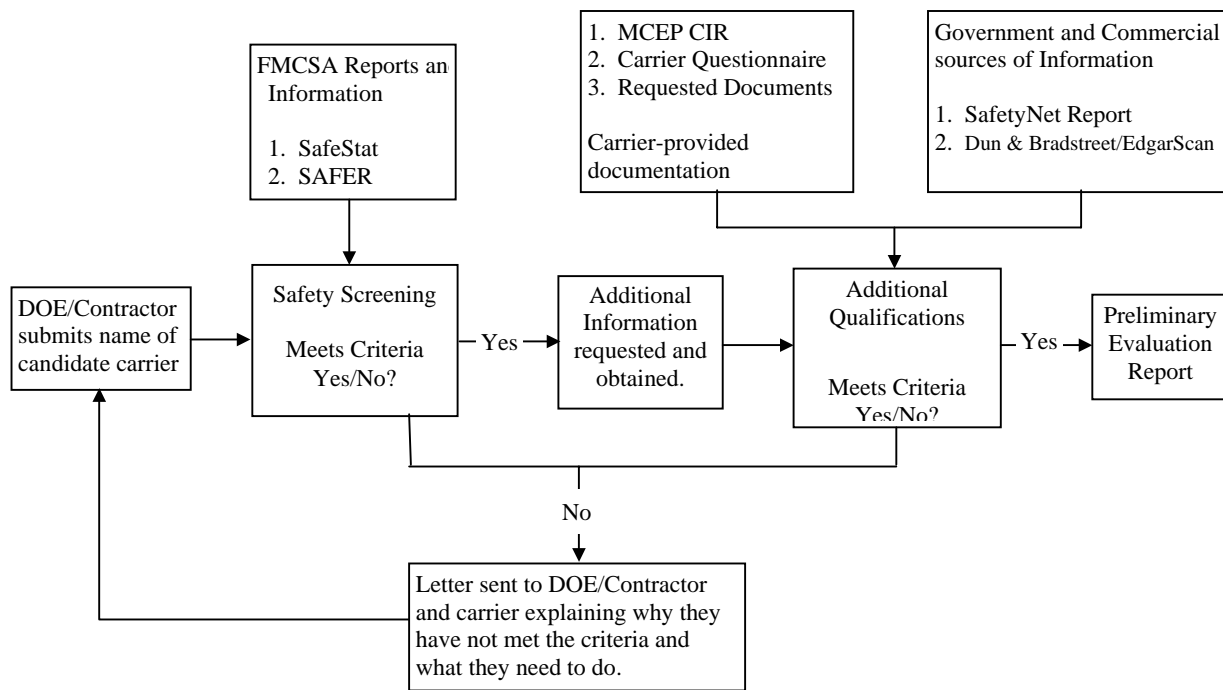
Initial carrier screening evaluations are initiated: (1) upon the request of a site or Field Element and at NTP-A’s direction, and (2) prior to the use of a carrier following the signing of a contract with DOE or a DOE contractor. Carriers are informed that any refusal to participate in an MCEP evaluation or any failure to comply with MCEP-related requests for documentation will prompt NTP-A to discontinue the initial screening process. As a result, carriers will not be able to transport DOE-owned hazardous materials. In any instance where external documentation is obtained that reflects on a carrier’s ability to be approved or remain approved under the MCEP, copies of that documentation are provided to the carrier for the carrier’s information and response.

Note: Carriers need not be evaluated prior to bidding. However, upon being awarded a task under a scope of work, they must be successfully evaluated before transporting materials of the types and/or quantities identified in the first paragraph of this section.

2.1 Initial Carrier Screening Process

Upon receiving direction from the NTP-A in concert with the Contractor Program Manager (see **Figure 2**), the Contractor Program Lead initiates the initial carrier screening process, which is performed by the Contractor Program Lead or a designee. After initial screening is completed on local carriers, the information collected is forwarded to the requesting DOE Field Office Traffic Manager and/or Contractor Management for use in the onsite evaluation.

Figure 2
Initial Screening Stage



2.2 Initial Carrier Screening Information Sources

The following sources are used by evaluators to obtain carrier performance information during the initial carrier screening process.

U.S. Department of Transportation/Federal Motor Carrier Safety Administration SafeStat

The most recent U.S. Department of Transportation (DOT) Federal Motor Carrier Safety Administration (FMCSA) SafeStat results for a carrier will be obtained as a preliminary step in the initial carrier screening process. If the SafeStat report contains no negative information, the carrier is eligible to proceed to the onsite evaluation process. If the SafeStat results show that the carrier is not meeting the MCEP initial screening criteria, the carrier is given a chance to refute or explain the circumstances that led to the high SEA value or SafeStat score. The only explanation considered acceptable by the MCEP is that the SEA value is incorrect as a result of state or federal misreporting of data. In such cases, the carrier must work directly with DOT to resolve the issues in question. SafeStat can be accessed from the Internet at <http://ai.volpe.dot.gov/mcspa.asp>.

Initial Carrier Contact

The MCEP Program Lead will make the initial contact through a carrier's corporate office, most frequently through the person responsible for the carrier's safety or compliance programs. The

carrier is required to complete and submit the MCEP Carrier Identification Report (CIR) and Carrier Questionnaire. The carrier also is required to submit additional documentation identified in the List of Requested Documents (see SOP NTP–A–MCEP.001).

NTP/MCEP personnel will evaluate this information to identify areas of interest or concern that should be emphasized during the onsite evaluation. Such areas will generally involve instances where necessary policies and procedures do not fully explain a process or practice and may not meet DOE requirements (e.g., an incomplete procedure on the carrier's alcohol misuse and controlled substances use testing process for drivers).

A carrier's policies and procedures also will be matched against SafeStat statistics to ensure they are being practiced. For example, a carrier may have a comprehensive maintenance policy, but its vehicle out-of-service (OOS) statistics may be well above the national average. This would indicate a need for an in-depth examination of the carrier's procedures regarding actual maintenance practices and the company's enforcement of related policies to ensure regulatory compliance.

SafetyNet Report

As follow-on to the steps described above, a SafetyNet Report should be ordered. The SafetyNet Report is a comprehensive summary of a motor carrier's interstate safety performance over a period of two to four years. The report profiles consolidated information from state and federal sources such as vehicle inspection information (including drivers), accident summaries, history of compliance, and federal safety ratings compiled by the Motor Carrier Management Information System (MCMIS) for DOT's FMCSA. The SafetyNet Report also includes a ratio comparing accidents with vehicle miles traveled and in-depth information collected from roadside inspections, including numbers and types of violations and OOS ratios. To obtain this report, complete an MCMIS Carrier Profile Order Form and send it to the following address:

COMputing TechnologieS, Inc.
OMC Data Dissemination Program
P.O. Box 3248
Merrifield, VA 2216-3248

If needed, the street address and telephone number for COMputing TechnologieS, Inc., is provided below:

3028 Javiar Rd., Suite 101
Fairfax, VA 22301-4622
(703) 280-4001

The individual ordering should allow ample time (a minimum of 30 days) to receive the SafetyNet Report prior to mailing the evaluation. A copy of the MCMIS Carrier Profile Order Form can be downloaded from the Internet at <http://www.fmcsa.dot.gov/pdfs/profiles.pdf>.

Additional Sources of Information

The FMCSA's Safety and Fitness Electronic Record (SAFER) may be substituted if a SafetyNet Report is not purchased. It should be noted, however, that the level of detail in a SafetyNet Report is far greater than in a SAFER. If necessary, additional information also may be obtained from external sources such as Dun & Bradstreet and the PriceWaterhouseCooper website. This website provides financial information about publicly traded companies via EdgarScan (Electronic Data Gathering, Analysis, and Retrieval or EDGAR), an interface with the Securities and Exchange Commission (SEC) database. EdgarScan pulls filings from the SEC's servers and parses them automatically to present key financial tables and normalized financials in a common format that is comparable across companies. Users can directly access specific sections of the filing, including financial statements, footnotes, extracted financial data, and computed ratings.

2.3 Initial Carrier Screening Criteria

Information from the sources listed in Section 2.2 is used by Contractor Program Lead personnel in the initial carrier screening process to evaluate carrier safety, qualification, insurance, financial status, and capabilities. These areas are discussed below.

Safety

A carrier's ability to meet DOE's safety criteria is based on its SafeStat results and safety rating over 12 months prior to the MCEP evaluation. A carrier must meet all of the individual safety criteria to pass the safety portion of the initial carrier screening stage. Specifically, the safety portion of the evaluation is based on the following items and associated acceptance criteria:

- | | |
|----------------------|---|
| Item No. 1: | DOT Safety Rating |
| Source: | SAFER |
| Acceptance Criteria: | Carriers must not have an unsatisfactory or conditional DOT Safety Rating. |
| Explanation: | DOT assigns safety ratings of satisfactory, conditional, or unsatisfactory to carriers based on the latest results of their compliance review. Carriers found to have safety problems as a result of their DOT onsite review are assigned less-than-satisfactory ratings. |
| | |
| Item No. 2: | Driver SEA Value |
| Source: | SafeStat |
| Acceptance Criteria: | Carriers must have Driver SEA values below 65. |
| Explanation: | A SEA value from 75 to 100 is defined as deficient. This range approximates the worst 25 percent of the carriers assessed within a particular SEA. The MCEP expands the deficiency range of SEA values (Driver, Vehicle, and Safety Management) to establish a higher standard. |

- Item No. 3: Vehicle SEA Value
Source: SafeStat
Acceptance Criteria: Carriers must have Vehicle SEA values below 65.
Explanation: See explanation under Driver SEA Value above.
- Item No. 4: Safety Management SEA Value
Source: SafeStat
Acceptance Criteria: Carriers must have Safety Management SEA values below 65.
Explanation: See explanation under Driver SEA Value above. Due to the unique nature of the Safety Management SEA, DOE will address this SEA value on a case-by-case basis following the guidelines listed above.

Qualification

The candidate carrier must supply basic identification and location information as well as the relevant authorizations in the MCEP CIR. These items are used to build the candidate carrier's initial MCEP record.

- Item No. 5: Carrier Name
- Item No. 6: Physical Address (street, city, state, zip code)
- Item No. 7: Mailing Address
- Item No. 8: Contact Person
- Item No. 9: Fax No.
Source: MCEP CIR
Acceptance Criteria: Items No. 6 through No. 9 must be filled out.
Explanation: These items are used to contact and communicate with the applicant carrier and to uniquely identify the carrier.
- Item No. 10: E-mail Address (optional)
- Item No. 11: Dun & Bradstreet No. (optional)
- Item No. 12: USDOT No.
- Item No. 13: Research and Special Programs Administration (RSPA) Hazardous Materials (HAZMAT) Registration No.
- Item No. 14: Internal Revenue Service Tax Identification No.

- Item No. 15: Environmental Protection Agency (EPA) Transporter Registration No. (if required)
Source: MCEP CIR
Acceptance Criteria: Item Nos. 12 through 14 must be valid and current. Item No. 15 must be valid and current for carriers required to register with the EPA.
Explanation: These items are required for carriers to conduct business involving interstate and intrastate hauling of hazardous wastes.

Insurance

All carriers are required to carry public liability insurance that includes environmental restoration and, in some cases, cargo insurance. The applicant carrier must document this coverage in its MCEP List of Requested Documents for the types of commodities transported.

- Item No. 16: Amount of Liability Insurance Coverage
Item No. 17: Primary, Secondary, and Tertiary Liability Insurers (as applicable)
Item No. 18: Primary, Secondary, and Tertiary Policy Numbers (as applicable)
Source: MCEP CIR and MCS-90 Form
Acceptance Criteria: The total coverage amount in Item No. 16 must equal or exceed the carrier's required liability insurance.
Explanation: Liability insurance is required for all motor carriers.

Financial

The candidate carrier must also provide information on any current bankruptcy filings during the initial carrier screening process.

- Item No. 19: Current Bankruptcy Filing
Item No. 20: Type of Filing
Item No. 21: State and Date of Filing
Source: MCEP CIR
Acceptance Criteria: No current bankruptcy is filed (a Chapter 11 filing may be determined acceptable on a case-by-case basis)
Explanation: Current business solvency is a DOE requirement for MCEP approval eligibility.

Capabilities

The following items are useful for determining the carrier's carrying capacity and capabilities.

- Item No. 22: Cargo Classification

Item No. 23:	Hazardous Materials Carried
Item No. 24:	Number of Power Units (owned and term-leased)
Item No. 25:	No. of Straight Trucks
Item No. 26:	No. of Truck Tractors
Item No. 27:	No. of Trailers
Item No. 28:	No. of HAZMAT Cargo Tank Trailers
Item No. 29:	Quantities of Specialized Equipment
Item No. 30:	No. of Drivers
Source:	MCEP CIR
Acceptance Criteria:	All fields must be filled out.
Explanation:	These items are used to fill in the carrier's MCEP record and to assist in assessing the carrier's capabilities.

2.4 Initial Carrier Screening Outcome

Carriers must meet the requirements of Items 1 through 4 and provide the information requested in Items 12, 13, 15, 16, and 19 to qualify for further evaluation by the MCEP. After meeting these initial screening criteria, the carrier may proceed to the onsite evaluation process. If any of these initial screening criteria are not met, then the carrier's evaluation process will be put on hold until the outstanding criteria are satisfied.

Carriers that do not qualify during the initial screening stage will be notified of the specific reasons for failure and advised as to how the outstanding criteria may be satisfied. This procedure encourages candidate carriers that do not fully meet the MCEP initial screening criteria to make the necessary changes and/or improvements required to eventually proceed to the onsite evaluation stage.

A carrier that fails two initial screening evaluations in three years will not be re-evaluated for a period of two years after the date of the last screening attempt or at discretion of MCEP NTP-A Program Manager.

A carrier disputing DOT data must resolve such problems with DOT and afterwards advise DOE of the results.

3.0 STAGE 2—ONSITE EVALUATION

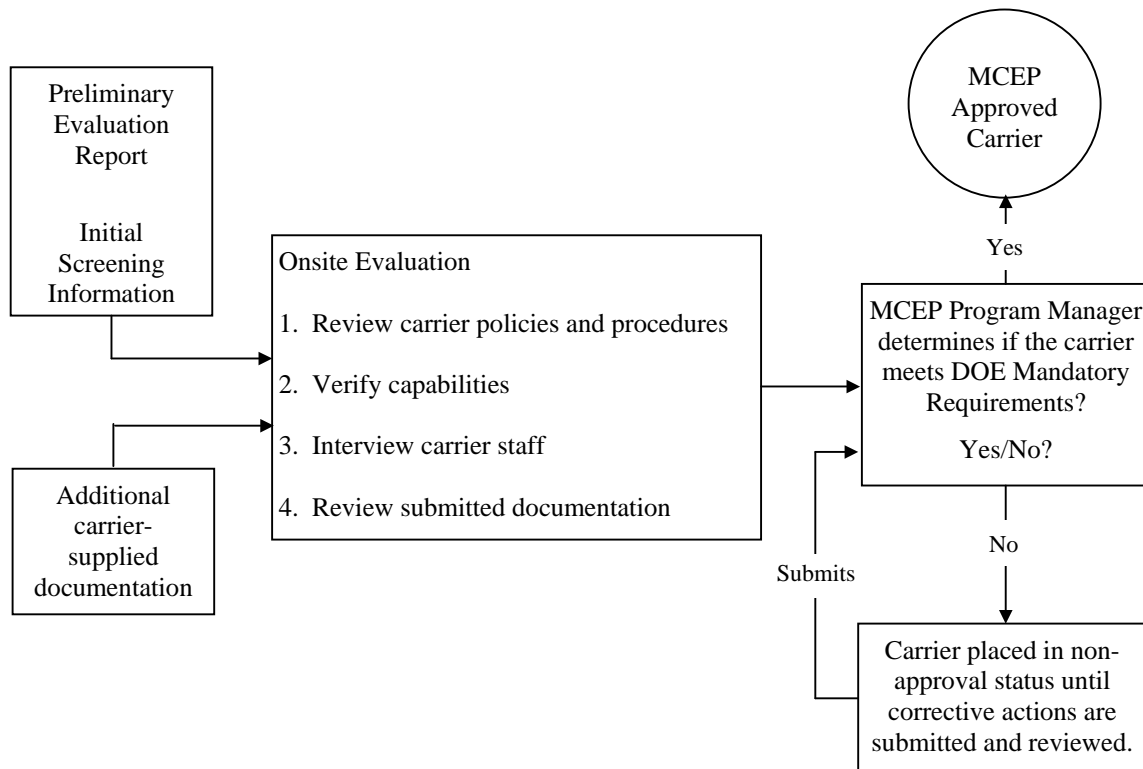
The onsite evaluation process consists of three parts: (1) the pre-onsite evaluation review, (2) the onsite evaluation, and (3) the evaluation of observations made during the onsite evaluation (see **Figure 3**).

The primary objective of the onsite evaluation process is to confirm the carrier-submitted information obtained during the initial carrier screening stage (e.g., insurance, carrier capabilities). The onsite evaluation also validates whether the carrier has safety policies and practices in places that comply with all applicable regulations, and focuses on items such as driver hiring, training, and oversight; vehicle maintenance; HAZMAT-related issues; and the financial solvency of the carrier.

3.1 Pre-Onsite Review

To facilitate the pre-onsite evaluation review process, the Contractor Program Lead provides all of the information gathered about the carrier to the personnel designated to perform the onsite evaluation. This information includes the documentation provided by the carrier and a Preliminary Evaluation Report containing information obtained from external sources (SafeStat statistics, the MCEP CIR, etc.), as well as a brief summary of those questions or areas of concern that should be addressed by the onsite evaluators.

Figure 3
Onsite Evaluation Stage



Onsite Evaluation Items

Practices and programs relevant to the carrier's safety and performance, especially in regard to the transportation of DOE-owned hazardous materials, are assessed as separate items during the onsite evaluation. These items can be categorized as either mandatory or non-mandatory as described below.

Mandatory items: Items that require the carrier to meet specific acceptance criteria related to its ability to comply with applicable federal, state, and local regulatory requirements and DOE Orders when transporting DOE-owned hazardous materials.

Non-mandatory items: Items that do not require the carrier to meet specific acceptance criteria, but do demonstrate the carrier's proactive stance in meeting or exceeding industry standards in a number of regulatory compliance, safety, and operational areas.

For a carrier to be eligible to transport DOE-owned hazardous materials, it must meet the acceptance criteria for *all mandatory items*. If objective evidence is presented to meet the requirement for each criterion, then the item can be checked off on the questionnaires during the onsite evaluation. Some items may not be applicable for certain carriers. These can be checked off as "N/A" (not applicable) and excluded from the required criteria.

The questions and tables listed in SOP NTP-A-MCEP.002 represent areas of validation for the onsite evaluation team. These tables are organized largely according to relevant portions of the *U.S. Code of Federal Regulations*. Guidance concerning the number (sample size) of records (e.g., driver qualification files, maintenance files, Drivers' Record of Duty Status, driver vehicle inspection reports, etc.) to be verified is also found in SOP NTP-A-MCEP.002.

3.2 The Onsite Evaluation

The following objectives apply to the onsite evaluation:

- Focus on potential problems identified through the initial carrier screening process or the pre-onsite evaluation review.
- Validate hiring, training, and other carrier safety programs to verify implementation and effectiveness.
- Verify capabilities in terms of DOE requirements.

These objectives are quantified during the onsite evaluation via questionnaires based on hazardous materials capabilities and Federal Motor Carrier Safety Regulations (FMCSR) regulations or on current industry standards.

Arranging the Onsite Evaluation

A mutually acceptable onsite evaluation date should be set, and the carrier should be allowed ample time to prepare those items identified during the pre-onsite review process for in-depth evaluation. Once an onsite evaluation date is established, a letter of confirmation must be sent to the carrier. An example of the confirmation letter can be found in the format and narrative instructions of this document. This format should be followed to ensure program consistency. Along with the confirmation letter, copies of data pertinent to the onsite evaluation should be furnished to the carrier, including a copy of the SafetyNet Report and any questions or concerns that the evaluators intend to address during the onsite evaluation.

A confirmation call should be made prior to the onsite evaluation date to establish arrival times, obtain accurate directions, and identify persons who will meet the team. Based on information supplied by the carrier and the concerns identified by the evaluation team, the duration of the evaluation process may take longer than one day. Upon arrival, a standardized entrance briefing (including overheads) should be conducted to introduce the onsite evaluation team members and their qualifications and to explain the MCEP and its primary goals.

The carrier must understand that DOE and/or its contractor organizations have no enforcement authority, and that the evaluation is being performed with the permission or at the invitation of the carrier. Any lack of cooperation, however, will result in the inability to approve the carrier for transporting hazardous materials for DOE.

Obtaining Additional Information

The onsite evaluation process must include a sampling of Driver Qualification Files, Vehicle Maintenance Files, and Driver's Record of Duty Status using the appropriate tables identified in the evaluation sample size of SOP NTP-A-MCEP.002.

The MCEP does not require duplicate reviews of compliance items in any area where (1) a carrier has a SEA value of less than 25, and (2) a DOT Compliance Review has been performed within nine months prior to the MCEP evaluation.

Evaluators are encouraged to ask questions to gain a broader perspective of the carrier, and notes should be taken whenever possible. The evaluation team must be satisfied with the quantity and quality of the information received from the carrier prior to departure.

To maintain the integrity of the program, all materials provided by the carrier must be treated as proprietary and must not be shared with other carriers or persons outside DOE.

3.3 Determining Carrier Eligibility

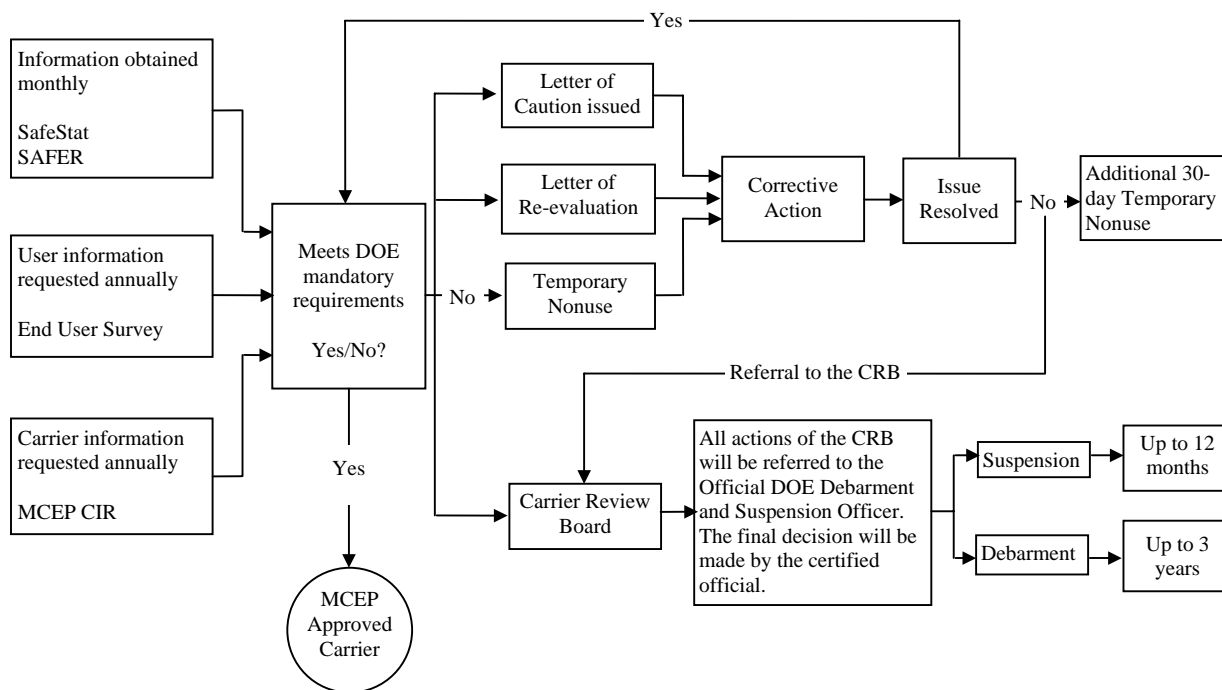
Information obtained during the onsite evaluation, along with SafeStat results, will be used to determine a carrier's eligibility for MCEP approval. Based on this information, carriers will be designated as "approved" or "unapproved." Carriers that do not meet the MCEP eligibility requirements will be advised about where improvements are required, and that reapplication is permitted. Carriers will be allowed a maximum of two unsuccessful attempts to pass in a three-

year period, after which they will be dropped from consideration for a period of two years from the date of the last attempt or at discretion of MCEP NTP-A Program Manager.

4.0 STAGE 3—CARRIER MONITORING

As shown in **Figure 4**, the same types of information used during the initial carrier screening stage are collected during the carrier monitoring stage. Carrier performance information is acquired from the most recent DOT SafeStat results and the carrier's safety rating. A revised MCEP CIR completed by the carrier, and the End User Surveys submitted by the sites that utilize the carrier's services (see Section 4.1 below) are reviewed on an annual basis as well. In addition, the carrier is required to provide updated information concerning any changes in their capabilities and other operational areas, financial status, and insurance coverage. This information is compared against the same criteria used in the initial carrier screening and onsite evaluation stages to assess whether the carrier remains eligible for DOE service. Eligible carriers that have previously transported DOE-owned radioactive materials and hazardous waste are also monitored on customer service (via End User Surveys).

Figure 4
Monitoring Stage



MCEP Revision 8 enhances the Monitoring Stage by providing additional criteria for placing transportation service providers (carriers) in Temporary Nonuse, Suspension, and/or Debarment status. A new procedure has been developed to ensure the smooth and easy implementation of this process. Criteria for Suspension and Debarment are found in the Federal Acquisition Regulations (FARs) Part 9 Contractor Qualifications, subpart 9.4 Debarment, Suspension, and Ineligibility. Specific DOE criteria are found in the Department of Energy Acquisition Regulations (DEARs) section 909.4. The DEARs specifically identify a Suspension and Debarring official with whom the procedure is designed to work in conjunction with for any Suspension or Debarment activities.

The General Services Administration has promulgated regulations in 41 CFR Part 102-117 requiring agencies of the federal government to develop policies and implement procedures dealing with the Temporary Nonuse, Suspension and Debarment of transportation service providers. In the paragraph above, the department already has procedures dealing with the suspension and debarment of contractors. These procedures are similar throughout all government agencies. The procedure developed for MCEP (SOP NTP-A-MCEP.004) works in conjunction with procedures already established by the department. It should be noted that NTP-A or DOE Field Offices transportation management may place transportation service providers in temporary nonuse but only the designated official for the department may suspend or debar any contractor from work.

Carrier monitoring is performed on a monthly basis. Carrier's CIRs and Contractor End User Surveys are updated annually in March. The carrier monitoring process also can be initiated upon request, with NTP-A approval.

Certain instances such as the awarding of a contract, the sale of a business, a foreign company purchasing a carrier that transports classified materials, a change in capabilities or service problems may require onsite re-evaluation and verification by DOE personnel. Re-evaluations may be directed by the NTP-A or the local DOE Traffic Manager.

Continuous monitoring ensures that carriers are evaluated consistently for compliance with DOE's performance-based requirements, whether they are new to the MCEP or already participate in the program. Continuous monitoring also produces several additional benefits:

- Updated carrier safety performance data
- Updated records of carrier capabilities and points of service
- Updated carrier quality of service assessments
- Actions to address concerns about carrier performance

4.1 Carrier Performance Information

This section provides more detailed descriptions of the some of the key sources of carrier performance information used during the carrier monitoring process.

SafeStat/SAFER

Each monitored carrier's safety performance assessment is updated using the most current information from an FMCSA SafeStat run (includes current information about a carrier's on-road safety performance, as well as DOT audit and enforcement information, if available). In addition, the carrier's safety rating is checked via FMCSA's SAFER to ensure that the carrier maintains a satisfactory rating. Monitored carriers supply updates on accidents and vehicle miles traveled within the previous year so that the carrier accident rate can be updated.

[Note: The same group of safety performance assessment items used in the initial carrier screening and onsite evaluation stages are used to ensure consistency throughout the MCEP process.]

Carrier Identification Report

Carriers are required to submit an MCEP CIR to update their status and to identify any changes in their capabilities. This information is measured against previous reports to identify any improvements or deficiencies.

4.2 Carrier Monitoring Process Outcomes

Five Possible Outcomes

Five possible outcomes may result from a carrier monitoring run:

1. Monitored items meet the criteria for acceptability and the carrier maintains its "approved" status. If the carrier continues to meet all the criteria for approval, this information will be updated as appropriate on the carrier's MCEP record. The threshold for continued acceptability is (1) SEA values are below 65, (2) timely submission of annual information updates and, (3) no conditional or unsatisfactory safety ratings from FMCSA.
2. A "Letter of Caution" is issued when negative trends in a carrier's SEA values reach the 65-74.99 point range. This proactive approach provides a "heads-up" to the carrier that it may eventually become ineligible for continued MCEP approval if improvements are not made, which gives the carrier's management time to address the identified problems, improve overall performance, and maintain eligibility (see SOP NTP-A MCEP.003). Along with the Letter of Caution, the carrier is asked to provide MCEP with a corrective action plan to improve the negative trends.
3. Monitoring results are determined to require further review. Such reviews may be as simple as a phone call, may require action on the part of the carrier, or may result in an onsite re-evaluation to answer questions or obtain information concerning corrective actions. A carrier having a SEA value of 75 or higher is subject to a re-evaluation to determine its approval status. Items that require monitoring reviews may include, but not be limited to, the following:
 - A questionable or disturbing trend in the SafeStat reporting data (A SEA value of 75 or higher)
 - Failure to submit or complete data requested
 - Questions of financial stability (e.g., operating ratios, bankruptcy, etc.)

- Change in ownership and/or DOT number
- Special circumstances (i.e.: High visibility campaign)
- Incidents/Accidents involving DOE-owned Hazardous or Radioactive materials

Monitoring reviews may result in one of the following actions:

- Immediate resolution of a problem through cooperation between DOE and the carrier (via remote or onsite action)
 - Temporary non-use of MCEP approval until the problem is resolved to DOE's satisfaction
 - Recommendation for suspension and/or debarment
 - Termination of the carrier's eligibility for MCEP approval [The carrier must reapply to be reinstated.]
4. Carriers who receive a conditional safety rating from the FMCSA are placed in temporary non-use status by the MCEP.
 5. Carriers who receive an unsatisfactory safety rating from the FMCSA are taken out of service and are therefore ineligible for MCEP.

5.0 REFERENCES

Code of Federal Regulations, Title 49, Parts 40 and 353-399 as applicable, "Federal Motor Carrier Safety Regulations," as amended.

Code of Federal Regulations, Title 49, Parts 100-180 as applicable, "Hazardous Materials Regulations," as amended.

Code of Federal Regulations, Title 41, Part 109-40.103-2, "Disqualification and Suspension of Carriers," as amended.

DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," U.S. Department of Energy, Washington, DC, October 26, 1995.